ETA Region 3-Atlanta Discretionary Grants Roundtable

Data Collection, Processing & Reporting

U.S. Department of Labor
Employment and Training Administration
Division of Financial, Management & Administrative Services
61 Forsyth Street, S.W.
Room 6M12
Atlanta, GA 30303
Phone: 404.302.5308

Session Objectives

1. **Data Collection**
2. **Data Tracking**
3. **Reports and Information**
4. **Common Measures**

Performance Management

“How you gather, manage and use information will determine whether you win or lose.”

- Bill Gates -

Federal Requirements

Data Collection & Reporting Requirements

- Grant Agreement
- 29 CFR Parts 95 & 97
- Public Law 107-228
- 29 CFR Part 37

eta

Data Collection—Introduction

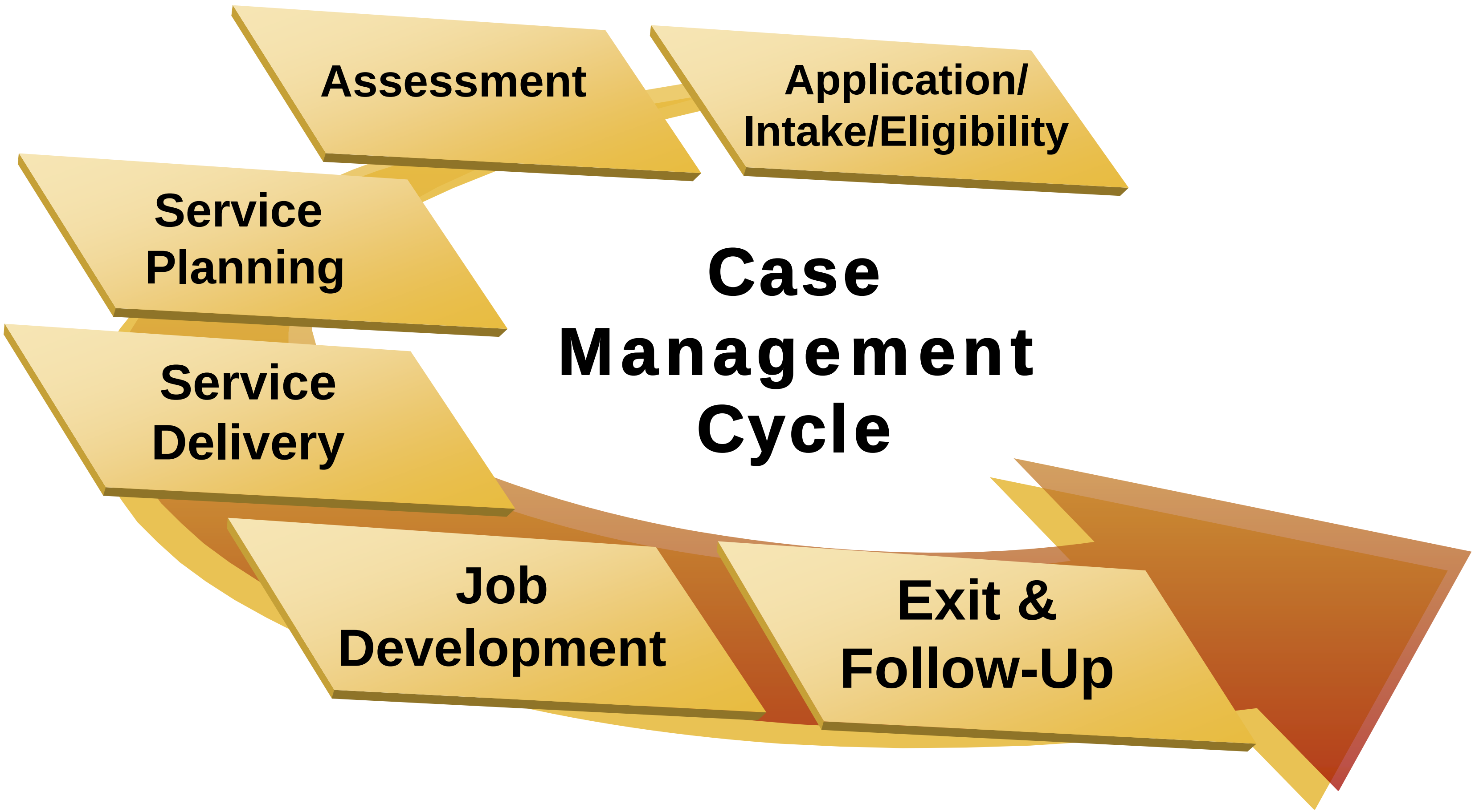
- **Process used to gather and collect information for the management of the project**
- **To develop a tracking mechanism, must address four fundamental questions:**
  - What information needs to be collected and in what format?
  - Where to obtain the information?
  - When does the information need to be collected?
  - How does the grantee know the information is accurate/valid?

Data Collection—What Information To Collect?

What information is needed?

- Start with grant proposal and grant award documents
  - Review goals, objectives, & expected outcomes for your grant
  - Review Work Plan, Service Flow Chart, Performance Measures, Project Deliverables, etc.
- Involve internal staff and external partners in the process of identifying data collection elements
  - They know what format it comes in and when the information is collected

Case Management



Data Collection—Participant Characteristics

Types of information collected from applicants and participants usually collected prior to actual enrollment in the project

- Participant contact and emergency contact information (e.g., name, address, telephone)
- Information to assess a person's eligibility for the project (tailored to each grantee based on definition/information from the proposal)
- EEO information and veteran's status (e.g., age, sex, ethnicity, race, and disability status)
- Veterans characteristics and status

Data Collection—Participant Characteristics

- Education information (e.g., highest school grade completed)
- Employment status at enrollment and past/current employment information
- Information about supportive service needs and additional reportable characteristics (e.g., offender, runaway, low income, single parent, etc.)

Data Collection—Participant Services

Collect information about the services provided to individual participants

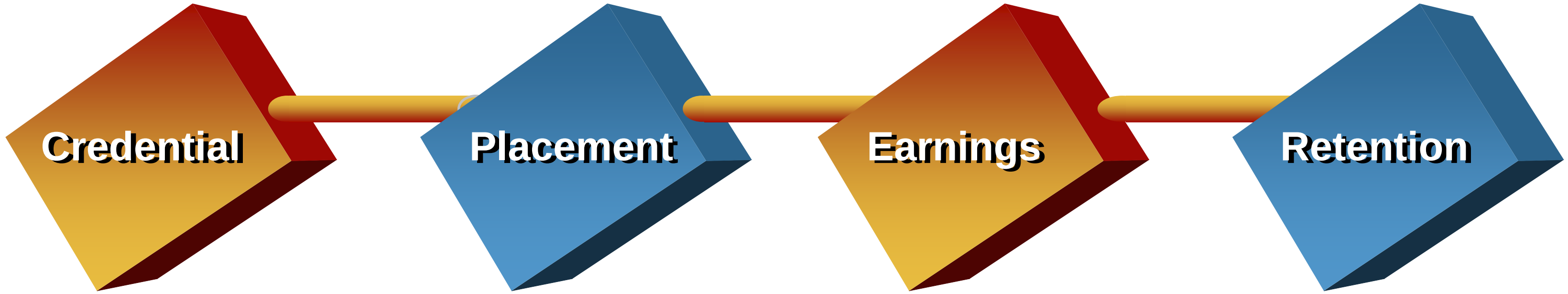
- Types of services in which the participant is enrolled
  - Some examples include career guidance services, job search assistance activities, supportive services, customized training, on-the-job training, apprenticeship training, occupational skills training, Adult Basic Education /English Second Language training
- Participation or service enrollment dates
- Service completion dates
- Training provider information

Data Collection—Participant Outcomes

Collect information about participant outcomes

- If the purpose of the grant is to provide training to position participants to obtain employment then likely outcomes to track would be training completion, placement in employment, earnings and retention in employment
- If the purpose of the grant is to help increase skills sets then likely outcomes to track would be skill attainment and diploma/GED rates
- If the purpose of the grant is research-oriented or for product-development then likely to track qualitative information on deliverables

Example Training-Related Data Elements



Credential

- Training start date
- Type of training
- Cost
- Provider name
- Date training completed
- Withdrawal date
- Type of credential
- Date credential received

Placement

- Employment start date
- Employer name
- Employer address
- Position
- Hours worked
- Benefit levels

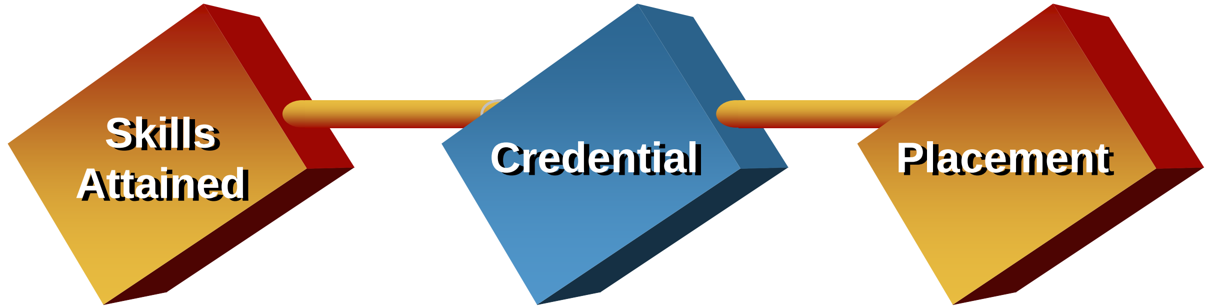
Earnings

- Need Placement Information from Column 2
- Rate of pay (hourly, gross, yearly, etc.)

Retention

- Employment status at specified date (e.g., 90 days after entered employment)
- Retention employer name
- Employer address
- Position
- Hours worked
- Benefit levels

Example Skills-Related Data Elements



- Type of skill goal
- Date goal set
- Type of assessment test
- Pre-test level
- Date skill goal achieved
- Post-test level

- Training start date
- Type of training
- Cost
- Provider name
- Date training completed
- Withdrawal date
- Type of credential
- Date credential received

- Date enrolled in secondary education or advanced training
- Type of program

Data Collection—
Where to Get the Information?

Source Documentation

- Social Security Card
- Driver's License/ID Card
- Hospital Records
- Intake/Eligibility Forms
- Attendance Sheets
- Sign-In Sheets
- School Records
- Activity Forms
- Assessment Results

- Pay stubs
- Progress Reports
- Surveys
- Self-attestation forms
- Copy of Diploma
- Training Certificates
- Interviews
- Public Agency Records

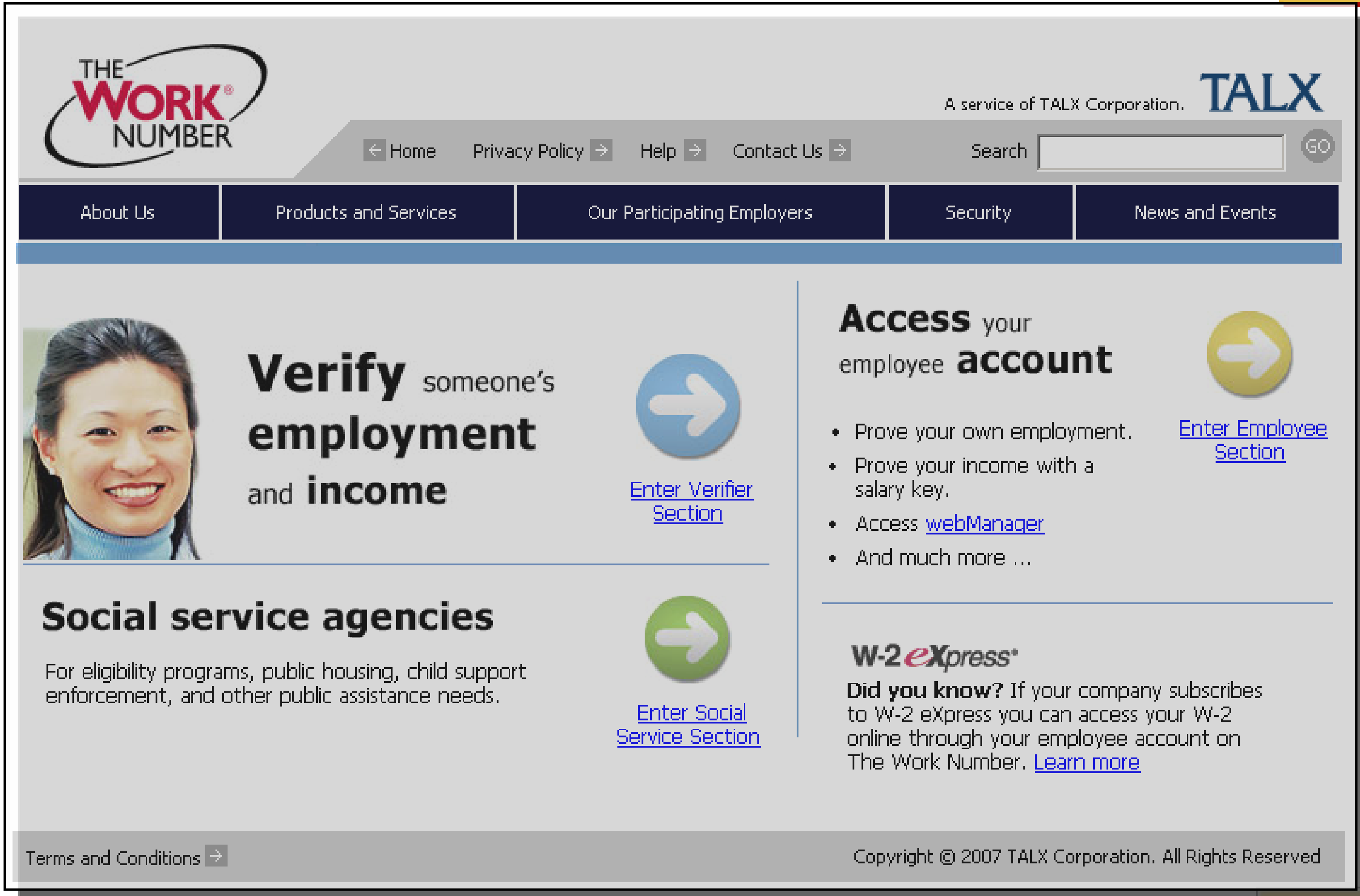
Wage Records as a Data Source for Outcomes Measures

- **Discretionary grantees that are State and local workforce investment boards or one-stop providers will most likely have access to wage record data**
  - Employers are required to send confidential quarterly reports of wage earners and their wages for the respective calendar quarter
- **The majority of discretionary grantees, however, will not have access to Unemployment Insurance (UI) wage records**

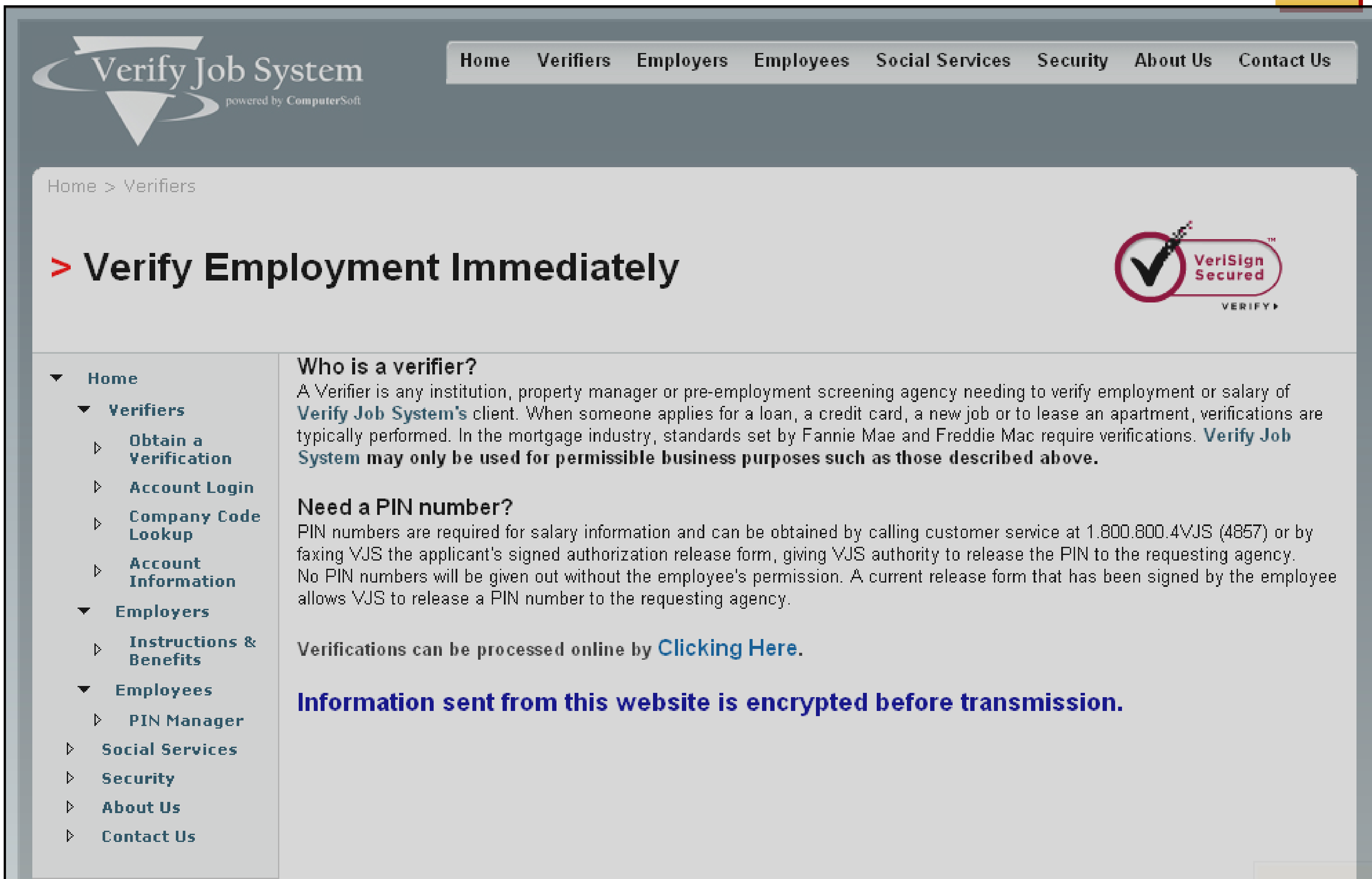
Supplemental Data

- **Most discretionary grantees will need to use supplemental data sources to verify employment and wages**
  - Copy of a participant's pay stub
  - Employer and participant surveys
  - A signed participant self-attestation form
  - Employer telephone or written verification (e.g., survey or employment letter)
  - Case management notes
- **All supplemental data sources must be documented in participant case files and are subject to audit**

Supplemental Data Source Examples of an Automated Service



Supplemental Data Source Examples of an Automated Service



Supplemental Data Source
Examples of an Automated Service

Supplemental Data Source Employer Contact Example

Employment Attestation Form

I, ______________________________ am ______________________________
(name) (job title)

and have direct knowledge that ______________________________ is an
(name of employee)

employee of ______________________________ and has
(Employer/Company Name)

been employed by said employer from _____ _____, ________ to _____
(month) (day) (year) (month)

_____, ________. From _____ _____, ________ to _____ _____, ________.
(day) (year) (month) (day) (year) (month) (day) (year)

the ______________________________ earned $____________________.
(name of employee) (total amount for period)

______________________________ ____________________
(Signature) (Date)

= The beginning and ending dates for the calendar quarter being measured. This information should be completed by community college staff.

Release of Information

I hereby authorize ______________________________
(Community College)

to contact my employer to obtain information relating to my employment for purposes of obtaining data relevant to assessing the performance of a federally-funded grant activity.

______________________________ ____________________
(Signature) (Date)

Supplemental Data Source
Example of Participant Statement

Participant Attestation Form

I, ______________________________, am an employee of the
(name of employee)

____ and have been
(Employer/Company Name)

employed by said employer from _____ _____, ________ to _____
(month) (day) (year) (month)

_____, ________. I earn $ _______________ per week. From _____ _____,
(month) (day)

________ to _____ _____, ________, I earned $ ____________________. My
(year) (month) (day) (year) (total amount for period)

supervisor's name and work telephone number are: _________________________

____.

_____________________________________ ____________________
(Signature) (Date)

= The beginning and ending dates for the calendar quarter being measured. This information should be completed by community college staff.

Data Collection—When to Collect the Information?

Important to develop an information management plan addressing:

- **How will data be collected?**
  - Information collected verbally, with paper documents or with magnetic media (e.g., surveys, training certificates in participant case files, etc.)
- **Who is responsible for the data collection?**
  - Assign responsibility for data collection to specific staff (your own, partner or contract staff) to ensure that expectations are clearly understood
- **In what format will data be collected?**
  - Written, telephone, case management system, etc.
- **When will data be collected?**
  - Incorporate deadlines & establish timeframes for all collection tasks

Data Collection—
Is the Information Reliable?

- **Ensure data elements are well defined and understood by project staff—this includes contractors**
  - Train all staff on definitions and processing requirements
  - Original source of information more reliable than secondary information
- **Ensure duplication of effort does not occur in the collection of data**
  - Costly
  - Lack of Consistency

Data Collection—
Is That It?

- **While you are required to track information to report on the common measures, other management information continues to be necessary**
  - Need information relevant to the day-to-day operations of your project
  - May need additional data elements to help case managers, job developers, managers, etc. make programmatic decisions

Data Collection—Exercise 1

At your table, identify the following:

1) What are your expected outcomes?
2) What data elements will you collect?
3) What data sources will you use?

Data Tracking—Introduction

- **Process grantees use to input data and information into a MIS, find and correct errors in the data, and compile and aggregate the information into a user-friendly format**
- **Grantees must address these fundamental questions:**
  - Who has responsibility for data entry, compilation and processing?
  - How to validate the data and ensure its integrity?
  - What management information system will be used to maintain the data?

Data Tracking—
Who Has Responsibility?

- **The grantee is responsible for ensuring that a system is in place to track participant characteristics, services and outcomes**
  - Highly recommended that grantees maintain access to data processing and reporting at all times
  - You need to know what is going on with your grant!
- **May contract out for services, but grantee should provide input on how the data is maintained and gathered**

Automated Tracking Systems

- **For small grants, grantees often use Microsoft Access (or a similar office productivity application) to develop entry screens and databases**
- **Another option is to secure the data management services of a workforce development partner**

Automated Tracking Systems

- **Off-the-shelf client tracking automated applications are also available**

  Examples of applications[1] used by LWIAs include:

  - ClientTrack.NET
  - The ProviderGateway Tracking System
  - G*Stars

[1] **Examples only. ETA does not endorse any one product.**

Data Elements Needed for Tracking

- Social Security Number
- Employment Status at Participation
- Date of Exit
- Reason for Exit

Data Elements Needed for Tracking

- **Equal Employment Opportunity information**
  - Gender, DOB, Ethnicity, Race, Disability status, Veteran Status
  - Only Self-disclosure is allowed
  - Participants may not be denied services based on their responses.

Data Elements Needed for Tracking

- **Veterans (http://www.doleta.gov/programs/VETs)**
  - Includes veterans and certain other eligible persons
  - Number served
  - Priority of Service

Data Tracking—
Who Has Responsibility?

- **All staff, including sub-recipients staff, need to clearly understand their role in creating, collecting, maintaining, and reporting program data**
  - Understand interrelationship of staff member duties
  - Understand consequences of missing deadlines, not sharing information, etc.
  - Reduce errors by training staff and making sure they meet specified qualifications

Data Tracking—
Is the Data Reliable?

- **Data needs to be reliable…accurate, complete and consistent**
- **Factors affecting data reliability:**
  - Lack data collection and data processing policies and procedures
  - Inaccurate and incomplete data
  - Insufficient staff training
  - Differences in definitions
  - Insufficient system controls

Data Tracking—Is the Data Reliable?

- **Data errors can occur at any point in record keeping. To help maintain data quality, consider the following:**
  - Assign ranges of possible values to each data element
  - Check consistency across data elements
  - Look for missing data
    - Assign codes like 98 for Don't Know, 96 Not Applicable and 99 Refused
  - Mandatory versus optional entry fields
  - Review a sample of records for accuracy

Data Tracking—What System Should We Use?

- **How sophisticated or elaborate does the grantee's MIS need to be?**
  - It varies, but high-performing organizations have an MIS that produces information/reports to assist staff in addressing issues and improving performance
- **What must grantee MIS be able to do?**
  - At a minimum, capture all required data elements, perform any necessary calculations and report information to the grantee and its partners
  - In some cases, ETA may provide the required data collection instruments and a system for collecting and reporting the information

Data Tracking—What System Should We Use?

- **Key principles of an effective MIS:**
  - Enter information only once
  - Enter information at the most cost-effective level of the organization (e.g., line staff versus technical staff)
  - Information available on demand
  - Access available to all levels in the organization, as needed
  - Timeliness of data entry

Reports and Information

- **Ability of grantee to use data tracking and processing techniques to develop reports**
- **Need for an information system that can give you reports that tell a story about your grant**
  - What other data help tell your story?
  - What about customer satisfaction data?
  - Don’t collect data simply to ‘feed the Federal data machine,’ but to inform program design and management

Reports and Information—Federal Requirements

- **Reporting requirements based on Uniform Administrative Requirements in 29 CFR Parts 95.51 and 97.40**
  - Comparison of actual accomplishments with goals and objectives for the project
  - Reasons why established goals were not met and corrective action being taken
  - Other pertinent information, including technical assistance needs, best practices or any promising approaches
- **In some cases, ETA has a required report format for your use with established due dates**

Common Measures Initiative

- **Why use common measures?**
  - Meet management objectives from President's Management Agenda
  - Need to compare government programs similarly
  - Need to analyze program outcomes and develop effective program strategies
  - Link performance to budget decisions
- **Affects 6 Federal Departments**
  - Labor, Education, Health and Human Services, Veteran's Affairs, Interior and Housing and Urban Development

DOL Common Measures Policy

- **Common measures required for ETA formula-funded grants and some discretionary grants, including:**
  - CBJTI
  - HGJTI
  - SCSEP
  - President's Prisoner Reentry Initiative
  - Responsible Reintegration of Youthful Offenders
  - NFJP
- **Training and Employment Guidance Letter (TEGL) No. 17-05, dated February 17, 2006 details DOL policy for common measures**

What Common Measures Apply to Your Grant?

- **Adult Measures**
  - Entered Employment
  - Employment Retention
  - Average Earnings
- **Youth Measures**
  - Placement in Employment or Education
  - Attainment of a Degree or Certificate
  - Literacy or Numeracy Gain

Required Definitions—Participant

- **Participant** = An individual **determined eligible** to participate in the program who **receives a service funded by the program** in either a **physical location** (e.g., One-Stop Center) **or remotely** through electronic technologies
  - You need to determine what services trigger participation in your grant
  - May need to capture information about services provided remotely

Required Definitions—Other Terms Related to Participation

- **Participation Date:** Date of first program-funded service
  - It's *possible* to record an earlier date if services were being provided by another partner at the time of participation
- **Participation Quarter:** Calendar quarter containing the participation date (e.g., 1st service is 4/22/07 then participation quarter is 2nd CY quarter)
- **Participant Cohort:** Group of individuals who share the same participation quarter

Required Definitions—Exit

Exit: A participant who hasn’t received a program or partner-funded service for 90 consecutive days and no future services are scheduled

1. Hasn’t received a service
2. No service received for 90 consecutive days
3. No future services scheduled (does not include any follow-up services or circumstances where the participant voluntarily withdraws or drops out of the grant)

Required Definitions—
Other Terms Related to Exit

- **Exit Date:** Last date of service (program or partner-funded)
  - Once a participant completes all services and 90 consecutive days had passed, the exit date is applied retroactively to the last date of service
- **Exit Quarter:** Calendar quarter containing the exit date
- **Exit Cohort:** Group of individuals who exit during the same calendar quarter (e.g., all participants that exit between 1/31/07 and 3/31/07 are in the same exit cohort)

Required Definitions—Gap in Service

- **Final common measures policy uses "gap in service" as opposed to the former "planned gap"**
- **Three allowable circumstances, where the condition exists for at least 90 days**
  1. Delay before beginning of training
  2. Health/medical condition of participant/family member
  3. Temporary move from the area that prevents participation
- **Gaps in service should be $\leq$180 days (from date of last service), although a subsequent gap could be initiated as necessary**
- **All gaps must be documented and are subject to audit**

Service Delivery

Eligible & Receives Grant Services

Date of 1st Service Triggers Participation Date

Participant Receiving Grant Services

Gap in Services Allowed
(see TEGL 17-05 Page 22)

Last Service Received & No Future Services Scheduled

No Services Received for 90 Consecutive Days

Last Service Date Triggers Exit Date

Participant Receives Follow-up Services

Follow-up discussed in TEGL 17-05
(see pages 20-21)

Basic Common Measurement Rules and Concepts

- **Only participants are included in performance calculations**
  - Specific conditions exclude participants from calculations
  - Self-service and informational activities exclude participants from calculations
- **Calculations are based on exiters**
  - Exception is Youth Literacy/Numeracy because based on one year from participation date
- **Each measure is based on a specific *cohort***
- **Specific data sources must demonstrate the outcomes**

eta

Basic Common Measurement Rules and Concepts

Allowable Exclusions

- **Institutionalized**
- **Health/Medical or Family Care**
- **Deceased**
- **Reservists called to active duty (includes National Guard)**
- **Relocated to a residential or non-residential program (applies to youth only)**
- **Invalid or missing SSN**

Wage Records as a Data Source for Outcomes Measures

- **Discretionary grantees that are State and local workforce investment boards or one-stop providers will most likely have access to wage record data**
  - Employers are required to send confidential quarterly reports of wage earners and their wages for the respective calendar quarter
- **The majority of discretionary grantees, however, will not have access to Unemployment Insurance (UI) wage records**
- **Most discretionary grantees will need to use supplemental data sources to verify employment and wages**

Data Sources for Measures Not Related to Employment

Pertains to all three *youth* measures

- Youth Placement in Employment or Education
  - Administrative records utilized for placement in education (wage records or supplemental data for employment portion)
- Attainment of Degree/Certificate
  - Administrative records utilized
- Literacy and Numeracy Gains
  - Assessment instrument

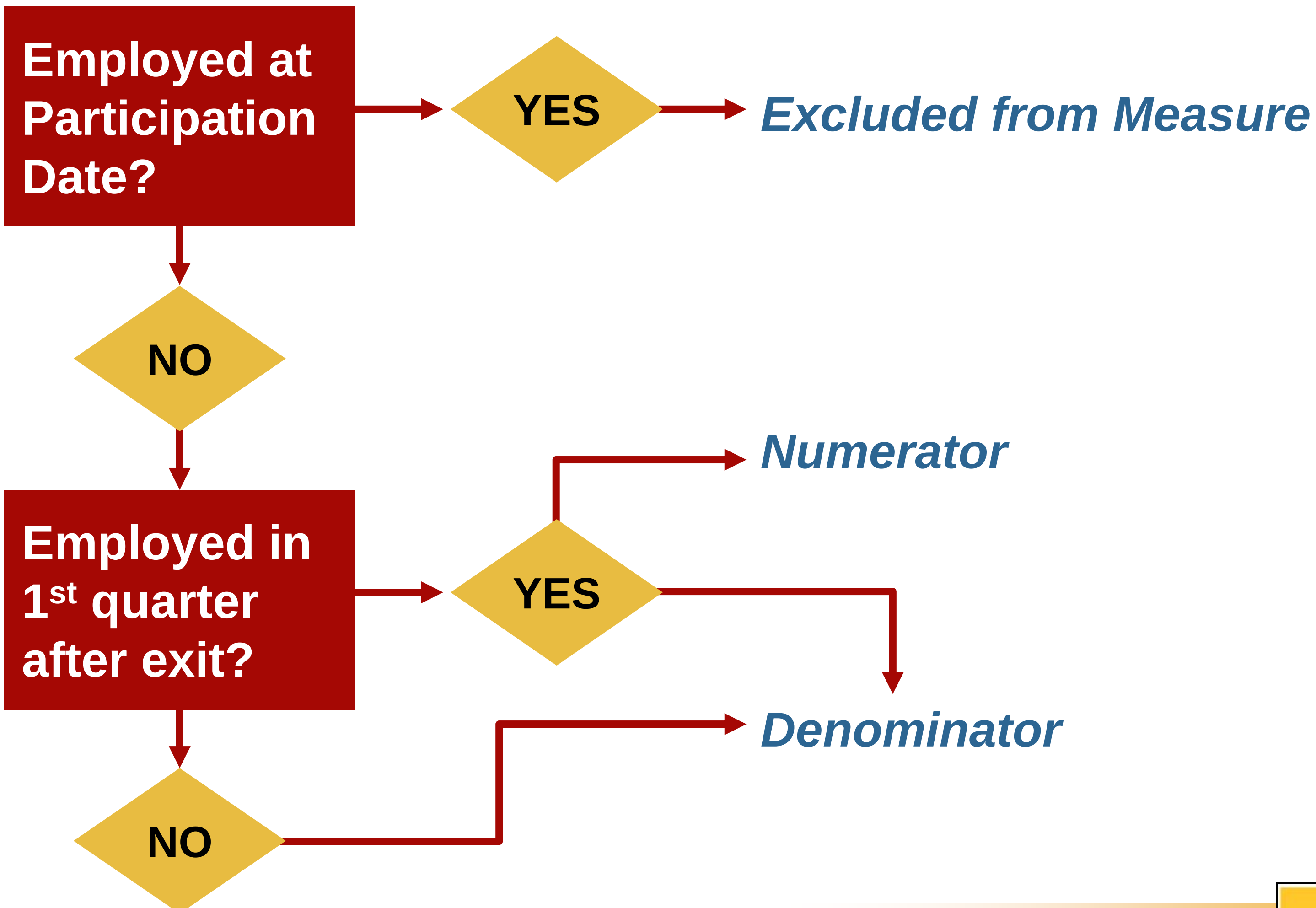
Entered Employment

Of those who are not employed at the date of participation:

$$\frac{\text{Number of adult participants who are employed in the 1}^{\text{st}}\text{ quarter after the exit quarter}}{\text{Number of adult participants who exit during the quarter}}$$

- **Exclude adults employed at the time of participation**
- **Include adults employed at the time of participation who are on layoff notice**
- **Wage records or supplemental data may be used to determine employment in the quarter after exit**

Entered Employment



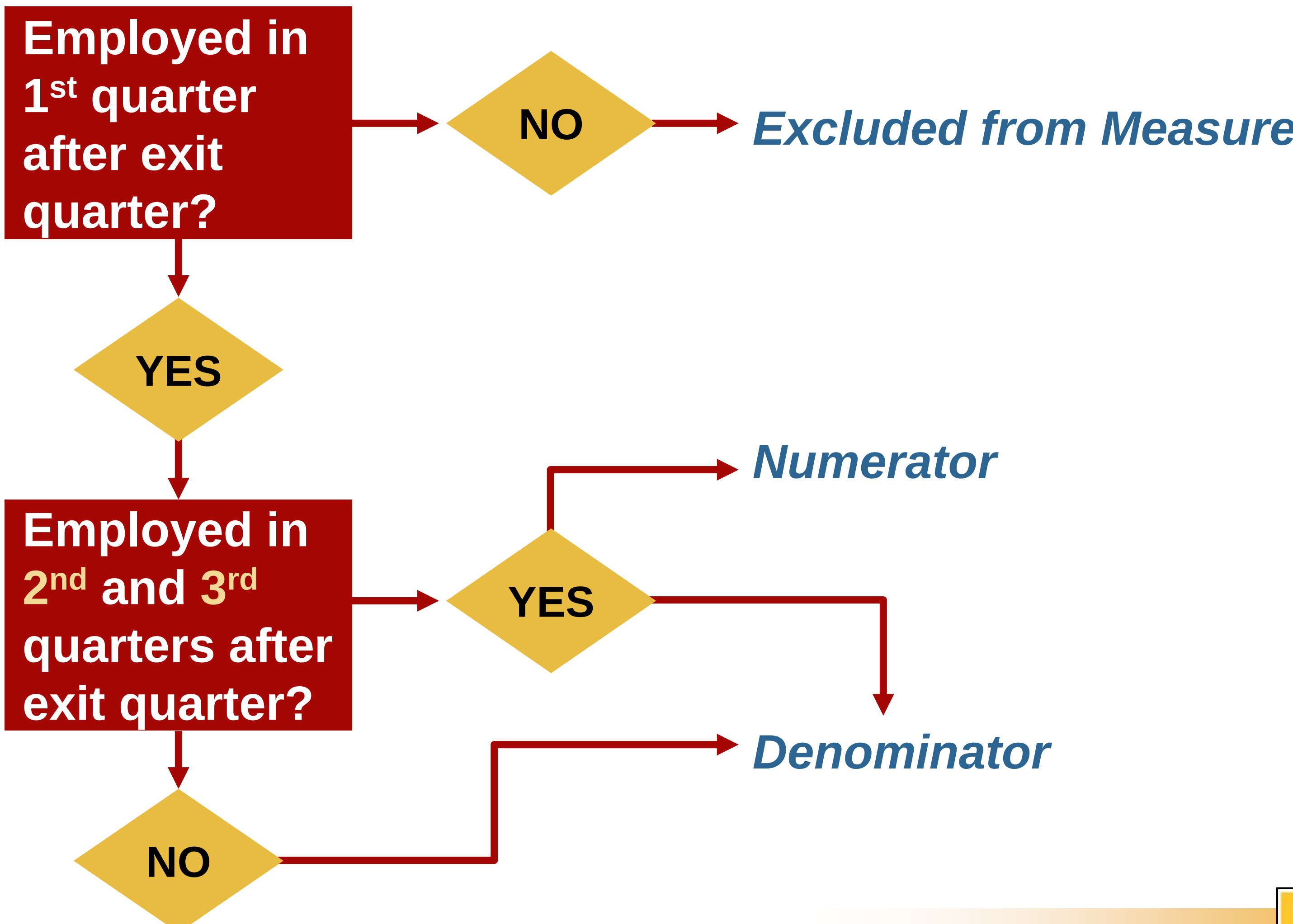
Employment Retention

Of those who are employed in the first quarter after the exit quarter:

$$\frac{\text{Number of adult participants who are employed in both the second and third quarters after the exit quarter}}{\text{Number of adult participants who exit during the quarter}}$$

- **Based on those employed in quarter after exit**
- **Wage records and supplemental data are acceptable data sources**
- **Employment in the 1st, 2nd and 3rd quarter after exit does not have to be with the same employer**

Employment Retention



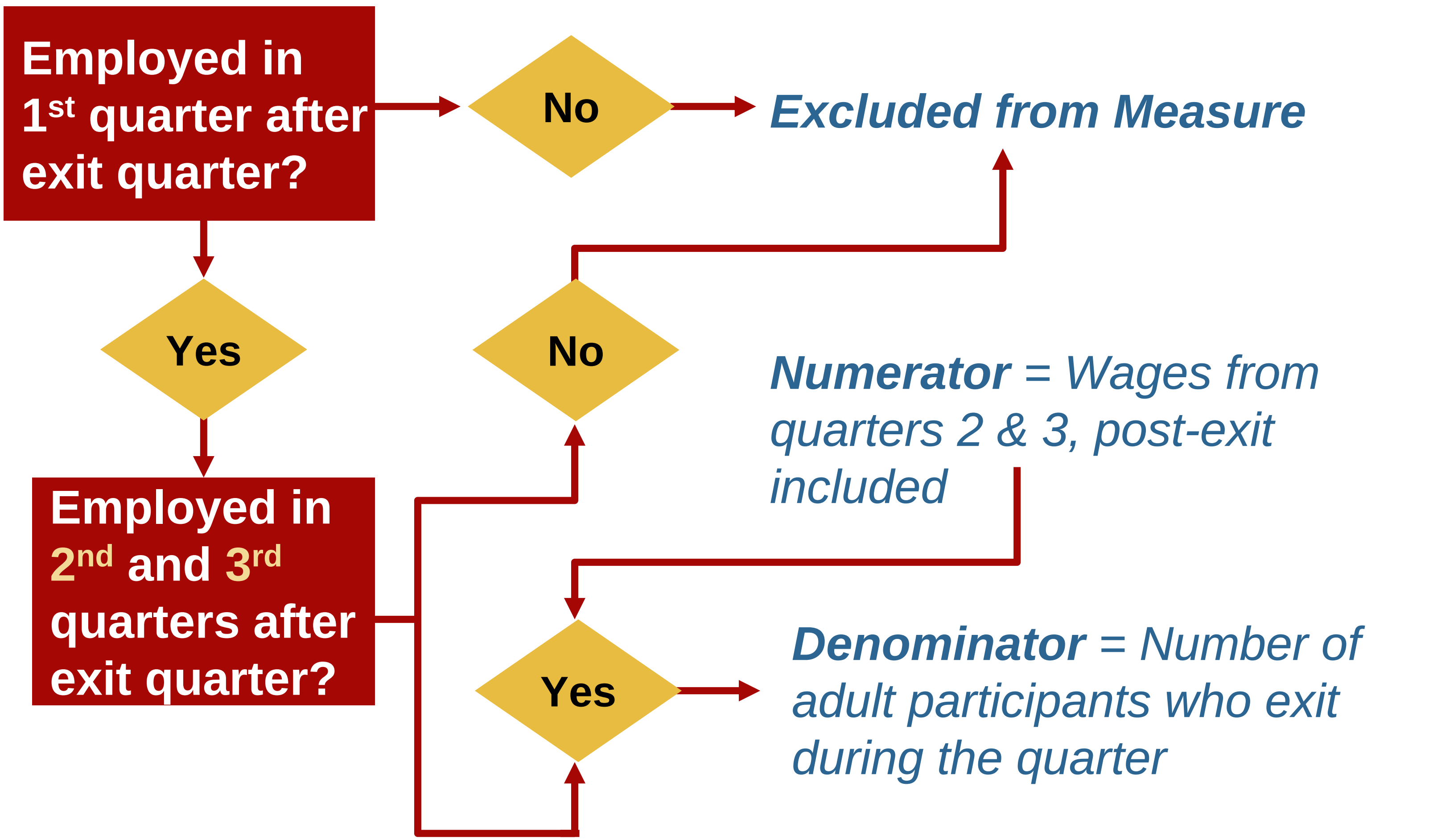
Earnings Measure

Of those adult participants who are employed in the first, second and third quarters after the exit quarter:

$$\frac{\text{Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter}}{\text{Number of adult participants who exit during the quarter}}$$

- **Only wage records may be used for determining pre-program and post-program earnings**
- **Includes only those retained in employment**

Average Earnings



Youth Placement in Employment or Education

Of those who are not in post-secondary education or employment (including the military) at the date of participation:

Number of youth participants who are employed (including military) or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter

---

Number of youth participants who exit during the quarter

Youth Placement in Employment or Education

- **Excludes youth in employment, the military, or post-secondary education at participation**
- **Includes youth in secondary education at exit**
- **Employment, military and education status at participation are based on information from the individual**
- **Employment and military service in the 1st quarter after exit may be based on wage record data or supplemental data**
  - Supplemental data must be documented

eta

Youth Attainment of a Degree or Certificate

Of those who are enrolled in education--at the date of participation or at any point during the program:

$$\frac{\text{Number of youth participants who attain a diploma, GED, or certificate by the end of the third quarter after the exit quarter}}{\text{Number of youth participants who exit during the quarter}}$$

- **Education refers to secondary school, post-secondary school, adult education, or any organized program of study**
- **<u>Includes</u> youth in secondary school at exit**
- **Outcome can be attained during participation**

Youth Attainment of a Degree or Certificate

- **Defining "certificate"…**

  A certificate is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards endorsed by employers. The recognition of generic pre-employment and/or work readiness skills are not considered certificates.

Youth Literacy and Numeracy Gains

Of those out-of-school youth who are basic skills deficient:

$$\frac{\text{Number of youth participants who increase one or more educational functioning levels}}{\text{Number of youth participants who have completed one year of participation in the youth program (one year from date of first program service) \underline{plus} the number of youth participants who exit before completing a year in the youth program}}$$

- **Excludes youth who are not basic skills deficient**
- **Excludes youth who are in-school**
- **To be in the numerator, an individual must advance one or more ABE or ESL functioning levels**
- **Not exit-based**

Youth Literacy and Numeracy Gains

- **Educational skill gain measurement is consistent with the National Reporting System for Adult Education**
- **Tests cross-walked with ABE and ESL levels include:**
  - Comprehensive Adult Student Assessment Instrument (CASAS)
  - Test of Adult Basic Education (TABE)
  - Adult Basic Learning Examination (ABLE)
  - Student Performance Levels for ESL
  - Basic English Skills Test (BEST) for ESL
  - WorkKeys (for the top 3 ABE levels)

Youth Literacy and Numeracy Gains

- **Requires the use of the same test for both pre and post assessments**
- **Individuals should be pre-tested within 60 days of the youth participation date**
  - Assessment results from tests administered six months before participation may be used
- **Individuals with disabilities should be accommodated according to guidelines associated with the assessment tool and state law or policies**
- **Individuals should be post-tested by the end of one year of participation and compared to the pre-test results**

Youth Literacy and Numeracy Gains

- If an individual continues to be basic skills deficient after the first 12 months of participation, then s/he should continue to receive training in literacy and/or numeracy skills
- Participants should be post-tested and included in the measure at the completion of the 2nd year
- Only included in the measure a second time if they complete a full 2nd year in the program

Conclusion

Measuring performance can be a powerful mechanism for managing performance!

Data Collection

- Intake/Eligibility forms
- Attendance sheets
- Activity forms
- Progress reports
- Records of completion
- Exit & follow-up forms
- Satisfaction surveys

Data Processing

- Data Entry
- Organizing data
- Compiling data
- Aggregating data
- MIS
- Excel spreadsheets
- Access databases
- Analyzing data

Information & Reports

- Internal management
- Quarterly ETA reports
- Stakeholder reports
- Customer satisfaction
- Evaluation report
- Contractor reports

THANK YOU

Are there any questions?